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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Thomas SMITH and Gene GAUZER

Application No./Patent

No./Control No.:

10/538991

Filed/Issue Date:

June 15, 2005

Entitled: HIGH PRESSURE COMPACTION FOR PHARMACEUTICAL FORMULATIONS

St. James Associates LLC/Faber Research Series

(Name of Assignee)

, a corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

- ☐ Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

[Signature]  
Signature

4/18/06  
Date

Thomas Smith  
Printed or Typed Name

626-376-4070  
Telephone Number

INVENTOR / TRUSTEE  
Title

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: 4/4/07

Signature: [Signature]

**ASSIGNMENT**

WHEREAS, I, **Thomas J. Smith**, a citizen of Canada and residing at 240 Taos Road, Altadena, California 91001, USA; am the inventor of certain new and useful inventions and discoveries which are disclosed in the following patent applications:

<b>Application No.</b>	<b>Filing Date</b>	<b>Country</b>	<b>Title</b>
60/435,163	20 December 2002	US	Large crystalline formulations for sustained release delivery of alkylating agents
60/435,416	20 December 2002	US	Large crystalline formulations for sustained release delivery of aminoglycosides
60/435,445	20 December 2002	US	Large crystalline formulations for sustained release delivery of angiotensin II receptor antagonists
60/435,415	20 December 2002	US	Large crystalline formulations for sustained release delivery of antibiotics for the prophylaxis or treatment of anthrax
60/435,448	20 December 2002	US	Large crystalline formulations for sustained release delivery of anti-Parkinson agents
60/435,449	20 December 2002	US	Large crystalline formulations for sustained release delivery of anti-biotics
60/435,447	20 December 2002	US	Large crystalline formulations for sustained release delivery of antidepressants
60/435,506	20 December 2002	US	Large crystalline formulations for sustained release delivery of antiepileptics
60/435,505	20 December 2002	US	Large crystalline formulations for sustained release delivery of antimetabolites
60/435,507	20 December 2002	US	Large crystalline formulations for sustained release delivery of atypical antipsychotics
60/435,496	20 December 2002	US	Large crystalline formulations for sustained release delivery of beta blockers

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Application No.	Filing Date	Country	Title
60/435,075	20 December 2002	US	Large crystalline formulations for sustained release delivery of calcium channel blockers
60/435,423	20 December 2002	US	Large crystalline formulations for sustained release delivery of camptothecins
60/435,336	20 December 2002	US	Large crystalline formulations for sustained release delivery of cephalosporin antibiotics
60/435,630	20 December 2002	US	Large crystalline formulations for sustained release delivery of corticosteroids
60/435,372	20 December 2002	US	Large crystalline formulations for sustained release delivery of epididymotoxins
60/435,106	20 December 2002	US	Large crystalline formulations for sustained release delivery of fluoroquinolones
60/435,388	20 December 2002	US	Large crystalline formulations for sustained release delivery of HMG Co-A reductase inhibitors
60/435,632	20 December 2002	US	Large crystalline formulations for sustained release delivery of immunosuppressive agents
60/435,557	20 December 2002	US	Large crystalline formulations for sustained release delivery of local anesthetics
60/435,558	20 December 2002	US	Large crystalline formulations for sustained release delivery of macrolide antibiotics
60/435,132	20 December 2002	US	Large crystalline formulations for sustained release delivery of methadone
60/435,497	20 December 2002	US	Large crystalline formulations for sustained release delivery of non-nucleoside reverse transcriptase inhibitors
60/435,494	20 December 2002	US	Large crystalline formulations for sustained release delivery of opiates

Application No.	Filing Date	Country	Title
60/435,508	20 December 2002	US	Large crystalline formulations for sustained release delivery of penicillin antibiotics
60/435,501	20 December 2002	US	Large crystalline formulations for sustained release delivery of HIV protease inhibitors
60/435,565	20 December 2002	US	Large crystalline formulations for sustained release delivery of platinum coordination complexes
60/435,038	20 December 2002	US	Large crystalline formulations for sustained release delivery of nucleoside reverse transcriptase inhibitors
60/435,037	20 December 2002	US	Large crystalline formulations for sustained release delivery of taxanes
60/435,162	20 December 2002	US	Large crystalline formulations for sustained release delivery of tetracycline antibiotics
60/435,338	20 December 2002	US	Large crystalline formulations for sustained release delivery of anti-tuberculosis agents
60/435,509	20 December 2002	US	Large crystalline formulations for sustained release delivery of vinca alkaloids
60/435,495	20 December 2002	US	Large crystalline formulations for sustained release delivery of angiotensin converting enzyme inhibitors
60/450,722	28 February 2003	US	Large crystalline formulations for sustained release delivery of estrogen receptor modulators
60/454,997	14 March 2003	US	Large crystalline formulations for sustained release delivery of isoflavones
10/538,991	15 June 2005	US	High pressure compaction for pharmaceutical formulations
2003299983	22 December 2003	AU	High pressure compaction for pharmaceutical formulations

Application No.	Filing Date	Country	Title
2510319	22 December 2003	CA	High pressure compaction for pharmaceutical formulations
03800248.1	22 December 2003	EP	High pressure compaction for pharmaceutical formulations
2005-510070	22 December 2003	JP	High pressure compaction for pharmaceutical formulations
US2003/41392	22 December 2003	PCT	High pressure compaction for pharmaceutical formulations

WHEREAS, St. James Associates LLC/Faber Research Series, whose address is 240 Taos Road, Altadena, California 91001, USA, which, together with its successors and assigns is hereinafter called "ASSIGNEE," is desirous of acquiring the title, rights, benefits, and privileges hereinafter recited;

NOW, THEREFORE, for and in consideration of my employment by ASSIGNEE and other valuable consideration furnished by ASSIGNEE to me, receipt and sufficiency of which I hereby acknowledge, I hereby, without reservations:

1. Assign, transfer, and convey to ASSIGNEE the entire right, title, and interest in and to said inventions and discoveries, said United States Patent Applications, any and all other applications for Letters Patent(s) on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation, continuation-in-part, reexamination and convention applications based in whole, or in part, upon said inventions or discoveries, or upon said United States Patent Applications, and any and all Letters Patent(s), reissues, and extensions of Letters Patent(s) granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon, or arise from, said inventions, said discoveries, said applications, and said Letters

Patent(s);

2. Authorize ASSIGNEE to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of ASSIGNEE or otherwise as ASSIGNEE may deem advisable, under International Conventions or otherwise;
3. Authorize and request the Commissioner of Patents and Trademarks of the United States of America and the empowered officials of all other governments throughout the world to issue or transfer all said Letters Patent(s) to ASSIGNEE, as assignee of the entire right, title, and interest therein or otherwise as ASSIGNEE may direct;
4. Warrant that I have not knowingly conveyed to others any right in said inventions, discoveries, applications, or patents, or any license to use the same, or to make, use, or sell anything embodying or utilizing any of said inventions or discoveries; and that I have good right to assign the same to ASSIGNEE without encumbrance;
5. Bind my heirs, legal representatives, and assigns, as well as myself, to do, upon ASSIGNEE's request and at ASSIGNEE's expense, but without additional consideration to either myself or them, all acts reasonably serving to assure that said inventions and discoveries, said patent applications, and said Letters Patent(s) shall be held and enjoyed by ASSIGNEE as fully and entirely as the same could have been held and enjoyed by myself, my heirs, legal representatives, and assigns if this Assignment had not been made; and particularly to execute and deliver to ASSIGNEE all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by ASSIGNEE; and to communicate to ASSIGNEE all facts known to me relating to said inventions and discoveries or the history thereof, and to testify as to the same in any court or proceeding; and to furnish ASSIGNEE any and all documents, photographs, models, samples, and other physical exhibits in my control or in the control of my heirs, legal


representatives, or assigns which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

Signed at Menlo Park <sup>Altadena</sup> this 20<sup>th</sup> day of March, 2006.

  
Signature of Thomas J. Smith

Witness Statement

I, Ellen Doble-Smith Steel, whose full post office address is 240 Taos Road  
Altadena CA 91001,  
state that I was personally present and did see **Thomas J. Smith**, who is personally known to me to be the person named in the above assignment, duly sign and execute the same on the date set forth above.

  
(Signature of Witness)

ASSIGNMENT

WHEREAS, I, **Gene Gauzer**, a citizen of Canada and residing at 86 Morley Hill, Kirkland QC H9J 2N7, Canada; am the inventor of certain new and useful inventions and discoveries which are disclosed in the following patent applications:

Application No.	Filing Date	Country	Title
10/538,991	15 June 2005	US	High pressure compaction for pharmaceutical formulations
2003299983	22 December 2003	AU	High pressure compaction for pharmaceutical formulations
2510319	22 December 2003	CA	High pressure compaction for pharmaceutical formulations
03800248.1	22 December 2003	EP	High pressure compaction for pharmaceutical formulations
2005-510070	22 December 2003	JP	High pressure compaction for pharmaceutical formulations
US2003/41392	22 December 2003	PCT	High pressure compaction for pharmaceutical formulations

WHEREAS, **St. James Associates LLC/Faber Research Series**, whose address is 240 Taos Road, Altadena, California 91001, USA, which, together with its successors and assigns is hereinafter called "ASSIGNEE," is desirous of acquiring the title, rights, benefits, and privileges hereinafter recited;

NOW, THEREFORE, for and in consideration of my employment by ASSIGNEE and other valuable consideration furnished by ASSIGNEE to me, receipt and sufficiency of which I hereby acknowledge, I hereby, without reservations:

1. Assign, transfer, and convey to ASSIGNEE the entire right, title, and interest in and to said inventions and discoveries, said United States Patent Applications, any and all other





applications for Letters Patent(s) on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation, continuation-in-part, reexamination and convention applications based in whole, or in part, upon said inventions or discoveries, or upon said United States Patent Applications, and any and all Letters Patent(s), reissues, and extensions of Letters Patent(s) granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon, or arise from, said inventions, said discoveries, said applications, and said Letters Patent(s):

2. Authorize ASSIGNEE to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of ASSIGNEE or otherwise as ASSIGNEE may deem advisable, under International Conventions or otherwise;
3. Authorize and request the Commissioner of Patents and Trademarks of the United States of America and the empowered officials of all other governments throughout the world to issue or transfer all said Letters Patent(s) to ASSIGNEE, as assignee of the entire right, title, and interest therein or otherwise as ASSIGNEE may direct;
4. Warrant that I have not knowingly conveyed to others any right in said inventions, discoveries, applications, or patents, or any license to use the same, or to make, use, or sell anything embodying or utilizing any of said inventions or discoveries; and that I have good right to assign the same to ASSIGNEE without encumbrance;
5. Bind my heirs, legal representatives, and assigns, as well as myself, to do, upon ASSIGNEE's request and at ASSIGNEE's expense, but without additional consideration to either myself or them, all acts reasonably serving to assure that said inventions and discoveries, said patent applications, and said Letters Patent(s) shall be held and enjoyed by ASSIGNEE as fully and entirely as the same could have been held and enjoyed by myself, my heirs, legal representatives, and assigns if this Assignment had not been made; and particularly to execute

and deliver to ASSIGNEE all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by ASSIGNEE; and to communicate to ASSIGNEE all facts known to me relating to said inventions and discoveries or the history thereof, and to testify as to the same in any court or proceeding; and to furnish ASSIGNEE any and all documents, photographs, models, samples, and other physical exhibits in my control or in the control of my heirs, legal representatives, or assigns which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

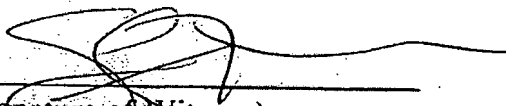
Signed at Kirkland, Quebec Canada this 18<sup>th</sup> day of September, 2006.

  
Signature of Gene Gauzer

Witness Statement

I, Stephan Gauzer, whose full post office address is 86 Morley Hill, Kirkland, Montreal, QC, CAN, H9T 2N7

state that I was personally present and did see Gene Gauzer, who is personally known to me to be the person named in the above assignment, duly sign and execute the same on the date set forth above.

  
(Signature of Witness)